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HDP/SB/21 based on PTO/SB/21 (08-00)

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

		Application Number	10/628,742
		Filing Date	7/28/2003
		First Named Inventor	Robert W. Osterland et al.
		Group Art Unit	Unknown
		Examiner Name	Unknown
Total Number of Pages in This Submission		Attorney Docket Number	0275M-000446/COC

**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  Form HDP-1449; 12 foreign patent references; return receipt postcard
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	The Commissioner is hereby authorized to charge any additional fees that may be required under 37 CFR 1.16 or 1.17 to Deposit Account No. 02-2550. A duplicate copy of this sheet is enclosed.
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

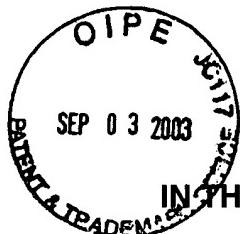
**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Harness, Dickey & Pierce, P.L.C.	Attorney Name Michael E. Hilton	Reg. No. 33,509
Signature			
Date	28 Aug 2003		

**CERTIFICATE OF MAILING/TRANSMISSION**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Director of the U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450, or facsimile transmitted to the U.S. Patent and Trademark Office on the date indicated below.

Typed or printed name	Michael E. Hilton		
Signature		Date	28 Aug 2003



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 10/628,742

Filing Date: July 28, 2003

Applicant: Robert W. Osterland et al.

Group Art Unit: Unknown

Examiner: Unknown

Title: LOW INSERTION EFFORT U-BASE RETAINER

Attorney Docket: 0275M-000446/COC

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Director of The United States Patent and Trademark Office  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant hereby submits an Information Disclosure Statement for consideration by the Examiner.

I. **LIST OF PATENTS, PUBLICATIONS, AND OTHER INFORMATION**

The patents, publications and other information requested to be considered by the Office (except unpublished U.S. patent applications) are listed on Form 1449 attached hereto.

II. **COPIES**

A.  Submitted herewith is a legible copy of (i) each U.S. patent application publication and U.S. and foreign patent; (ii) each publication or that portion which caused it to be listed; (iii) for each cited pending U.S. application, the application specification including the claims, and any drawing of the application which caused it to be listed including the claims directed to that portion; and (iv) all other information or that portion which caused it to be listed.

B. \_\_\_\_\_ Any patents, publications or other information which are listed on Form 1449 or on the copies of PTO-892, but which are not enclosed herewith, were previously cited by or submitted to the PTO in one of the following applications which has been relied upon for an earlier filing date under 35 U.S.C. § 120:

U.S. Serial Number

U.S. Filing Date

C.  Because the present application was/is being filed after June 30, 2003, no copies of the U.S. patents or U.S. patent application publications which are listed on the attached Form 1449 are enclosed pursuant to the waiver of 37 C.F.R. § 1.98(a)(2)(i). Any foreign patent documents or non-patent literature listed on the attached Form 1449 are enclosed herewith.

D.  This is a PCT application in the entry of the National Phase in the United States. A copy of the International Search Report is attached for the Examiner's information. The documents listed on the International Search Report are listed on the attached Form-1449 for consideration by the Examiner and for listing on any patent resulting from this application. Since the International Search Report was from the US, EPO, or JPO search authorities, copies of these references should have been supplied to the USPTO under the trilateral agreement and are believed to be in the file of the above-identified application. (MPEP 1893.03(g))

III. CONCISE EXPLANATION OF THE RELEVANCE (check at least one box)

A.  Except as may be indicated below in (B), all of the patents, publications or other information are in the English language (concise explanation not required).

B.  A concise explanation of the relevance of each patent, publication or other information listed that is not in the English language is as follows (see 37 C.F.R. § 1.98(a)(3)):

1.  See the attached foreign patent office communication from a counterpart foreign application:
2.  English translations are provided for:
3.  Other: English language abstracts are provided as indicated on Form HDP-1449

C.  The following additional information is provided for the Examiner's consideration.

IV. CROSS REFERENCE TO RELATED APPLICATION(S)

A.  The Examiner is advised that the following co-pending application(s) contain(s) subject matter that may be related to the present application. By bringing this(these) application(s) to the Examiner's attention, Applicant(s) does(do) not waive the confidentiality provisions of 35 U.S.C. § 122.

<u>Serial No.</u>	<u>Filing Date</u>	<u>Art Unit</u>
PCT/US02/06753	3/4/2002	
10/449,647	5/30/2003	3612

V. THIS IDS IS BEING FILED UNDER

A.  37 C.F.R. § 1.97(b): (check only one box)

1.  within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d) (37 C.F.R. § 1.97(b)(1)). No fee or certification is required.
2.  within three months of the date of entry of the national stage as set forth in §1.491 in an international application (37 C.F.R. § 1.97(b)(2)). No fee or certification is required.
3.  before the mailing of a first Office Action on the merits (37 C.F.R. § 1.97(b)(3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below; or, if no certification has been made, charge our deposit account a fee in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).
4.  before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No fee or certification is required.

B.  37 C.F.R. § 1.97(c): (check only one box)

- before the mailing date of either any Final Office Action under 37 C.F.R. § 1.113, a Notice of Allowance under 37 C.F.R. § 1.311, or an action that otherwise closes prosecution.

1.  No certification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).

2.  See the certification below. No fee is required.

C.  37 C.F.R. § 1.97(d):

- after the mailing date of either a Final Office Action under 37 C.F.R. § 1.113 or a Notice of Allowance under 37 C.F.R. § 1.311, yet on or before payment of the issue fee.

1.  See the certification below. A fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).

VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e): (check only one box)

The undersigned hereby certifies that:

A.  each item of information contained in this IDS was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS (See 37 C.F.R. §

1.97(e)(1)). See further statement under 37 C.F. R. 1.704(d) below in section VII, if applicable; or

B.  no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this IDS (See 37 C.F.R. § 1.97(e)(2)).

C.  Some of the items of information were first cited in a communication from a foreign patent office. As to this information, the undersigned hereby certifies that each item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this IDS.

VII. STATEMENT UNDER 37 CFR 1.704(d)

The undersigned hereby states that:

each item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. 1.56(c) more than thirty days prior to the filing of this IDS.

VIII. PAYMENT OF FEES (check only one box)

A.  A check in the amount of \$180.00 is enclosed for the above-identified fee.

B.  Please charge Deposit Account No. 02-2550 in the amount of \$180.00 for the above-indicated fee. A duplicate copy of this paper is attached.

The above references are being cited only in the interest of candor and without any admission that they constitute statutory prior art, contain matter which anticipates the invention, or which would render the same obvious, either singly or in combination, to a person of ordinary skill in the art. Furthermore, this Information Disclosure Statement shall not be construed as a representation that a search has been made.

If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition if necessary) and charge the appropriate fee to Deposit Account No. 02-2550.

Please charge any additional fees or credit any overpayment pursuant to 37 C.F.R. § 1.16 or § 1.17 to Deposit Account No. 02-2550.

Respectfully submitted,

Dated: 28 Aug 2008

By: Michael E. Hilton  
Michael E. Hilton  
Reg. No. 33,509

HARNESS, DICKEY & PIERCE, P.L.C.  
P.O. Box 828  
Bloomfield Hills, Michigan 48303  
(248) 641-1600

MEH/kq  
Document3



FORM HDP-1449 (Based on Form PTO-1449)

**PATENT AND TRADEMARK OFFICE**  
**INFORMATION DISCLOSURE CITATION**  
 (Use several sheets if necessary)

Sheet 1 of 3

ATTORNEY DOCKET NO.	SERIAL NO.
0275M-000446/COC	10/628,742
APPLICANT	
Robert W. Osterland et al.	
FILING DATE	GROUP
7/28/2003	Unknown

**U.S. PATENT DOCUMENTS**

Ref. Desig.	Examiner's Initials	Document Number	Date	Name	Class/Subclass	(If appropriate) Filing Date
1.		2002/0194710 A1	12/26/2002	Dickinson et al.		
2.		2002/0104201 A1	08/08/2002	Smith et al.		
3.		2002/0064435 A1	05/30/2002	Sbongk		
4.		2003/0024078 A1	02/06/2003	Vassiliou		
5.		2003/0024077 A1	02/06/2003	Vassiliou		
6.		2002/0017009 A1	02/14/2002	Smith et al.		
7.		2002/0001502 A1	01/03/2002	Smith et al.		
8.		2,574,330	11/06/1951	Judd		
9.		3,703,120	11/21/1972	Van Buren, Jr.		
10.		3,830,134	08/20/1974	Erickson		
11.		3,869,958	03/11/1975	Murayama		
12.		4,043,579	08/23/1977	Meyer		
13.		4,300,865	11/17/1981	Murray		
14.		4,312,614	01/26/1982	Palmer et al.		
15.		4,402,118	09/06/1983	Benedetti		
16.		4,595,325	06/17/1986	Moran et al.		
17.		4,644,612	02/24/1987	Osterland		
18.		4,787,795	11/29/1988	Kraus		
19.		4,865,505	09/12/1989	Okada		
20.		4,925,351	05/15/1990	Fisher		
21.		5,035,661	07/30/1991	Steinhardt et al.		

Examiner:

Date Considered:

EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



PATENT AND TRADEMARK OFFICE  
INFORMATION DISCLOSURE CITATION  
(Use several sheets if necessary)

Sheet 2 of 3

ATTORNEY DOCKET NO.	SERIAL NO.
0275M-000446/COC	10/628,742
APPLICANT	
Robert W. Osterland et al.	
FILING DATE	GROUP
7/28/2003	Unknown

**U.S. PATENT DOCUMENTS**

Ref. Desig.	Examiner's Initials	Document Number	Date	Name	Class/Subclass	(If appropriate) Filing Date
22.		5,448,809	09/12/1995	Kraus		
23.		5,651,562	07/29/1997	Hagen et al.		
24.		5,774,949	07/07/1998	Cornell et al.		
25.		5,797,714	08/25/1998	Oddenino		
26.		5,803,532	09/08/1998	Karuppaswamy et al.		
27.		5,829,934	11/03/1998	Danby et al.		
28.		5,987,714	11/23/1999	Smith		
29.		6,074,150	06/13/2000	Shinozaki et al.		
30.		6,095,734	08/01/2000	Postadan et al.		
31.		6,141,837	11/07/2000	Wisniewski		
32.		6,145,870	11/14/2000	Devane et al.		
33.		6,154,933	12/05/2000	Vetter et al.		
34.		6,209,178 B1	04/03/2001	Wiese et al.		
35.		6,279,207 B1	08/28/2001	Vassiliou		
36.		6,315,510 B1	11/13/2001	Sturies et al.		
37.		6,317,937 B1	11/20/2001	Ishihara et al.		
38.		6,320,134 B1	11/20/2001	Rehberg et al.		
39.		6,353,981 B1	03/12/2002	Smith		
40.		6,381,811 B2	05/07/2002	Smith et al.		
41.		6,406,242 B1	06/18/2002	Gordon		

Examiner:

Date Considered:

EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



PATENT AND TRADEMARK OFFICE  
INFORMATION DISCLOSURE CITATION  
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Sheet 3 of 3

ATTORNEY DOCKET NO.	SERIAL NO.
0275M-000446/COC	10/628,742
APPLICANT	
Robert W. Osterland et al.	
FILING DATE	GROUP
7/28/2003	Unknown

**U.S. PATENT DOCUMENTS**

Ref. Desig.	Examiner's Initials	Document Number	Date	Name	Class/ Subclass	(If appropriate) Filing Date
42.		6,449,814 B1	09/17/2002	Dinsmore et al.		
43.		6,474,921 B1	11/05/2002	Gordon		
44.		6,497,011 B2	12/24/2002	Smith et al.		
45.		6,527,471 B2	03/04/2003	Smith et al.		

**FOREIGN PATENT DOCUMENTS**

Ref. Desig.	Examiner's Initials	Document Number	Date	Country	Class/ Subclass	Translation Yes	No
1.		EP0855523A1	07/29/1998	EPO		Abstract	
2.		JP07293521	11/07/1995	Japan		Abstract	
3.		JP08121441	05/14/1996	Japan		Abstract	
4.		DE19626050A1	02/13/1997	Germany		Abstract	
5.		DE19640165A1	04/10/1997	Germany		Abstract	
6.		DE19702429A1	07/30/1998	Germany		Abstract	
7.		DE10059522A1	06/06/2002	Germany		Abstract	
8.		DE20004580U1	08/17/2000	Germany		Abstract	
9.		DE3822463C1	09/07/1989	Germany		Abstract	
10.		DE4416698A1	11/16/1995	Germany		Abstract	
11.		WO 00/40866	07/13/2000	WIPO		Abstract	
12.		WO 02/44570 A1	06/06/2002	WIPO		Abstract	

Examiner:

Date Considered:

EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.